

IFW

PTO/SB/21 (02-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL  
FORM**

To be used for all correspondence after initial filing)

Application Number	10/801,517
Filing Date	03-16-2004
First Named Inventor	Qi, Xiaoyang
Art Unit	1653
Examiner Name	
Attorney Docket Number	CHM08-GN003

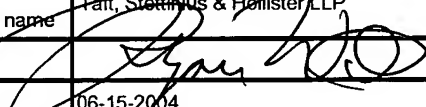
Total Number of Pages in This Submission

6 +

**ENCLOSURES (Check all that apply)**

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): RETURN POST CARD
<b>Remarks</b> 2 PG STATEMENT INCLUDING FORMS PTO/SB/08A&B (2 PGS) + 8 NON-PATENT CITED REFERENCES		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Ryan L. Willis, Reg. No. 48,787 Tait, Stettinius & Hollister LLP
Signature	
Date	06-15-2004

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Sharon A. Shelton, Paralegal		
Signature		Date	06-15-2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



### Certificate of Mailing

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 on:

6/15/2004

(Date)

Sharon A. Shelton  
Sharon A. Shelton

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of:

Applicant : Qi, Xiaoyang  
Serial No. : 10/801,517  
Filed On : March 16, 2004  
Title : SAPOSIN C-DOPS: A NOVEL ANTI-TUMOR AGENT  
Docket No. : CHM08-GN003  
Examiner :  
Art Unit : 1653

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313

Dear Sir:

### INFORMATION DISCLOSURE STATEMENT

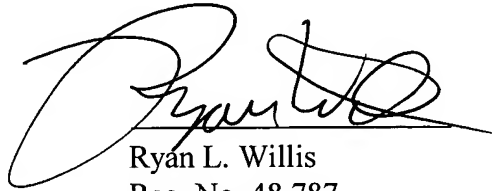
Pursuant to 37 C.F.R. § 1.97, the Examiner's attention is directed to the references listed on the attached Forms PTO-SB-08A and 08B. A copy of each of the non patent listed references is provided.

It is to be understood that the present disclosure of art is in no way intended to be a waiver of any arguments or defenses available to the Applicant under the rules of the U.S. Patent

**Information Disclosure Statement**  
**CHM08-GN003**  
**Page 2**

and Trademark Office and the statutes of the United States. No fee is required. The Commissioner is hereby authorized to charge any additional fees that may be required by this paper, or to credit any overpayment to Deposit Account 50-3072.

Respectfully submitted,



Ryan L. Willis  
Reg. No. 48,787

030074  
TAFT, STETTINIUS & HOLLISTER LLP  
425 Walnut Street, Suite 1800  
Cincinnati, OH 45202-3957  
(513) 357-9663  
willis@taftlaw.com

**Complete if Known**

*(Use as many sheets as necessary)*

Sheet	1	of	2
-------	---	----	---

Application Number	10/801,517
Filing Date	03-16-2004
First Named Inventor	Qi, Xiaoyang
Art Unit	1653
Examiner Name	
Attorney Docket Number	CHM08-GN003

## U. S. PATENT DOCUMENTS

[illegible]

**FOREIGN PATENT DOCUMENTS**

[illegible]

Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

**If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete If Known**

<b>Sheet</b> 2 <b>of</b> 2	<b>Application Number</b>	10/801,517
	<b>Filing Date</b>	03-16-2004
	<b>First Named Inventor</b>	Qi, Xiaoyang
	<b>Art Unit</b>	1653
	<b>Examiner Name</b>	
<b>Attorney Docket Number</b>		CHM08-GN003

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		QI et al, Functional Human Saposins Expressed in Escherichia coli, J. Biol. Chem., July 17, 1999, 269 (24):16746-16743, Amer. Soc. Biochem. Mol. Biol., Inc., U.S.A.	
		VACCARO et al, Saposin C induces pH-dependent destabilization and fusion of phosphatidylserine-containing vesicles, FEBS Letters, 1994, 349:181-186, U.S.A.	
		QI et al, Differential Membrane Interactions of Saposins A and C, J. Biol. Chem., July 20, 2001, 276 (29):27010-27017, Amer. Soc. Biochem. Mol. Biol., Inc., U.S.A.	
		LUCHETTE et al, Morphology of fast-tumbling bicelles: a small angle neutron scattering and NMR study, Biochim Biophys Acta, Aug. 2001, 1513(2):83-94, Elsevier Science B.V.	
		NIEH et al, SANS Study on the Effect of Lanthanide Ions and Charged Lipids on the Morphology of Phospholipid Mixtures, Biophysical J., 2002, 82:2487-2498, Biophys. Soc., USA	
		WANG et al, Phospholipid vesicle fusion induced by saposin C, ABB, 2003, 415:43-53, Elsevier Science, USA	
		NIEH et al, Concentration-Independent Spontaneously Forming Biomimetic Vesicles, Phys. Rev. Lett., 2003, 91(15):158105-1/4, Amer. Phys. Society, USA	
		Nucleotide Sequence: BC001503	

<b>Examiner Signature</b>		<b>Date Considered</b>	
---------------------------	--	------------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO:** Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.